Supreme Court, U.S.
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No. _____

IN THE
SUPREME COURT OF THE UNITED STATES
OCTOBER TERM 1998

TRACY ASHCRAFT and
CAROLYN ASHCRAFT,
Petitioners,

v.

HWA-SHAIN YEH, M.D., and
MAYFIELD NEUROLOGICAL INSTITUTE, INC.
Respondents.

ON PETITION FOR WRIT OF CERTIORARI
TO THE UNITED STATES COURT OF APPEALS
FOR THE SIXTH CIRCUIT

PETITION FOR WRIT OF CERTIORARI

JOHN H. METZ
Counsel of Record

ATTORNEY AT LAW
44TH FLOOR CAREW TOWER
441 VINE STREET
CINCINNATI, OH 45202-3016

Attorney for Petitioners

BECKER GALLAGHER LEGAL PUBLISHING, INC., CINCINNATI, OHIO 800-890-5001

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QUESTIONS PRESENTED FOR REVIEW

1. Do lower courts encourage docket congestion by allowing wrongdoers to profit by delay and avoidance of timely settlements by failing to impose prejudgment interest?

2. Does a United States magistrate deny due process of law by failing to provide prevailing parties a hearing in a "meaningful manner" as to their "right" to prejudgment interest?

3. Does the "due process" clause of the U.S. Constitution and Ohio State constitution protect the "right" of a parent to be compensated when a tortfeasor reduces an adult child to the status of an incompetent and the child's parents' parental duties are once again continually and permanently placed upon the parent given the child's new condition caused by the tortfeasor?

4. Does a magistrate err and violate the comity between State and Federal Judiciary when he orders (over objection) a "satisfaction of judgment" where a portion of the case is on-going in the State court system?

5. Is it constitutionally violative and a denial of full compensation to require plaintiff to pay a "registry fee" from plaintiffs' recovery where the magistrate erred in permitting defendant to pay a verdict into the clerk of court?

6. In a diversity action where the prevailing party has a "right" to interest upon a judgment, can a federal statute [28 U.S.C.§1961] constitutionally "take" away a litigants' state "right" to a higher rate of interest on a judgment by statute [Ohio Revised Code §1343.03].

7. Does a magistrate deny "due process" to a litigant and prevent plaintiffs' right to make a record, by refusing to disclose claimed "privileged" discovery materials, and then *ex parte* has the materials returned to defense counsel and denies a motion to make such documents a part of the record for purposes of appeal?

PARTIES TO THE PROCEEDING

Petitioner

TRACY ASHCRAFT and
CAROLYN ASHCRAFT

Respondents

HWA-SHAIN YEH, M.D., and
MAYFIELD NEUROLOGICAL INSTITUTE, INC.

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OPINIONS BELOW

The Sixth Circuit Court of Appeals' entry of January 11, 1999 denying petition for rehearing and petition for rehearing *en banc* is annexed hereto as an appendix [**Appendix E**]. Also annexed as an appendix is the magistrate's Judgment denying prejudgment interest [**Appendix A**]. The Sixth Circuit order affirming judgment of November 10, 1998 is attached as an appendix [**Appendix B**]. The order denying Plaintiffs' motion for order designating record is attached [**Appendix C**]. The magistrate's order granting defendants' motion for an order of satisfaction of judgment and release of defendants' supersedeas bond is annexed [**Appendix D**].

Appellants have filed with the Circuit Court for purposes of the record the transcript of the oral argument from the Sixth Circuit since the court issued its decision orally from the bench pursuant to Sixth Circuit Local Rule 19 and foreclosed any other "record" of the court's thought process for review other than the oral argument.

JURISDICTION

(a) The judgment of the trial court was entered on June 6, 1996, as a result of a medical malpractice negligence case brought under 28 U.S.C.§ 1332 due to diversity of the parties. The Magistrate Judge denied prejudgment interest to the prevailing party on March 31, 1997.

(b) The judgment of affirmance of the United States Court of Appeals for the Sixth Circuit is dated November 10, 1998.

(c) The order of the United States Court of Appeals for the Sixth Circuit denying the petition for rehearing is dated January 11, 1999.

(d) Jurisdiction to review the judgment in this question by certiorari by Title 28 U.S.C..§ 1254(1).

CONSTITUTION AND STATUTORY PROVISIONS INVOLVED

United States Constitution, Amendment V:

"No person shall ... be deprived of life, liberty, or property, without due process of law."

Ohio Revised Code § 1343.03

"(C) Interest on a judgment ... for payment of money rendered in a civil action based on tortious conduct and not settled by agreement of the parties, shall be computed from the date the cause of action accrued to the date on which the money is paid, if upon motion of any party to the action, the court determines at a hearing held subsequent to the verdict or decision in the action that the party required to pay the money failed to make a good faith effort to settle the case and that the party to whom the money is to be paid did not fail to make a good faith effort to settle the case."

STATEMENT OF THE CASE

Basis of Jurisdiction In First Instance

The district court below was presented with a diversity case involving the negligent removal of the right frontal portion of plaintiff's brain during surgery. The plaintiff was

a resident of the Commonwealth of Kentucky and defendant surgeon and his medical corporation were residents of the State of Ohio. Pursuant to 28 U.S.C. §636(c) and Fed. R. Civ. Pro. 73(b), the parties' case was tried before a Magistrate Judge and any appeal from that judgment would lie directly to the Court of Appeals for the Sixth Circuit.

Statement of Facts

The right frontal lobe of this young man's brain was erroneously removed in September, 1989. His medical malpractice litigation took **seven (7) years** to get to a jury determination which resulted in a verdict of $4.25 million. Throughout all seven years of litigation defendants refused to offer one penny in settlement even after the first several experts they went to not only informed them that the plaintiff did have a case, but that plaintiff should not have even been considered a surgical candidate!

The case was assigned to District Judge Spiegel who presided over the years of litigation until the morning of trial. On the morning of trial Judge Spiegel (due to his trial schedule) transferred the case to Magistrate Judge Sherman for purposes of jury trial. The Magistrate on the morning of trial completely "dismissed" the mother-caregiver's claim for loss of consortium (and refused to make a written order of his ruling).

Plaintiff, a young man of 21 years, underwent surgery to attempt to alleviate his epilepsy condition. During the work-up process it was determined that they were unable to adequately locate the exact source in the brain where the epilepsy was initially sparking ["the focus"]. This "focus" is the area which would need to be surgically removed if found. In the face of such insufficient focus location, the defendant-surgeon, nonetheless, went forward with surgery and removed

the entire cortical portion of right frontal lobe of this young man's brain.

Petitioner, Tracy Ashcraft, was operated upon by defendants without properly determining whether surgery should be attempted. As a result Tracy lost the frontal lobe of his brain and suffered severe permanent brain damage and now lives a "child-like" existence. Petitioner now, post-op, is deprived of normal human inhibitions and of his ability to care for himself or sense danger. He is in need of twenty-four hour supervised care and is subject to random outbursts of extreme violence (all of which he has no memory). He has a severely damaged short term memory; i.e. not being able to recall what he reads at the top of a page by the time he gets to the bottom of page. His mother has been appointed his legal guardian.

The expense of a 24-hour residential program and the continuing care this young man will need throughout the rest of his life was testified to at trial to range from $7,000,000 to $14,000,000.

After a three week trial and jury deliberations of one week, it resulted in a verdict for plaintiffs in the sum of $4.25 million for Tracy Ashcraft. [The magistrate dismissed the mother's claims and they were not considered by the jury].

Under Ohio law, to encourage timely settlements and to provide "full compensation" a prevailing party is "**entitled**" to prejudgment interest if the losing party did not adequately and reasonably evaluate their litigation risks" [*Kalain v. Smith*, 25 Ohio St.3d 157 495 N.E.2d 572 (1986)].

The defendants' "claims file" demonstrated that experts that were contacted on behalf of defendants were telling the defendants from the beginning that plaintiffs had a good case and that they did not even think plaintiff was a candidate for the surgery to begin with!

Interestingly, the claims file also showed that the defendants first four choices for expert review resulted in the defendants not using those experts. The only expert defendants ended up with was a personal friend of over 25 years who had not even reviewed all the evidence. The same expert attempting to defend the defendants' conduct was also not even aware of the pre-op report showing the inadequate work-up to find the focus.

The prejudgment interest motion pended for seven months before the magistrate from June, 1996 until his ruling on March 31, 1997. The magistrate on the record indicated that he was "ready to rule" on the motion before evidence was ever offered into the record. The magistrate failed to even consider evidence to grant plaintiffs' their prejudgment interest.

A hearing on prejudgment interest was concluded on Friday, March 28,1997, in the late afternoon (2:30pm). At this point the Magistrate had not had the **963** pages of claims file nor the **300** pages of depositions, so such could not have been even read, let alone considered by the court until that time. However, the following working day (Monday morning) his terse Entry Denying Prejudgment Interest had already been typed, filed and time-stamped: March 31, 1997, **11:05 a.m.**!

While on its face it is clear that the Magistrate did not consider the evidence; his short Entry confirms his clearly erroneous conduct in that he states that plaintiffs did not present "**ANY** evidence" to support prejudgment interest. The record is obviously completely to the contrary.

SATISFACTION OF JUDGMENT [Appendix E]

Compounding plaintiffs' denial to "full compensation" the magistrate also granted a motion to enter an Order of "satisfaction of judgment" while portions of the case were actively on appeal (and a collateral suit pending in state court

involving other defendants).

Defendants filed their appeal from the jury's verdict. On November 12, 1997, just before the defendants' appellate brief was due, defendants dismissed their appeal [R. 172] and paid the verdict not to plaintiffs, but with the magistrate's approval into the clerk of court.

Defendants then moved the district court (Magistrate) to order a satisfaction of judgment. Plaintiffs' objected since such could affect the pending appeal and the other collateral action pending in the Ohio Court of Claims against the other two State employed physicians. [R.173; R.175]. The magistrate granted defendants' motion for an Order of satisfaction which necessitated an appeal of that ruling also. [R.183].

"REGISTRY FEE" DEDUCTION

The magistrate by allowing the defendants to pay the verdict into the clerk of court (not to plaintiffs) caused plaintiffs to lose $1,086.60 due to a "registry fee" deducted by the clerk of courts.

POST-JUDGMENT RATE OF INTEREST

The magistrate also approved calculating post-judgment interest under 28 U.S.C. §1961 (at approximately 5% interest) by defendant. Once again this represents another avenue for defendants to make money on delay of settlements.

The Circuit court failed to address the magistrate's failure to consider evidence but were more preoccupied with size of the verdict rather than the legal standard of review. It is apparent from the Sixth Circuit's comments that the plaintiffs were penalized for their taking part in settlement

negotiations and since they received a substantial partial verdict, they should be happy with that. This mindset is precisely why defendants can laugh at being concerned about federal litigation.

The Sixth Circuit seemed preoccupied with the fact that the judgment involved a large monetary number. While in a vacuum that may be so; this young man has to deal with $7-14 Million dollars in necessary care and treatment for the rest of his life. This judgment, although seemingly large, fell far short of the minimum needed for this man's life necessities, let alone any compensation. This is why the litigation involving the other two physicians pending in State Court is so important and should not be interfered with by a federal magistrate.

If the magistrate had granted the prejudgment interest of approximately $3 Million this judgment would have provided this young man with the compensation properly due him. On the contrary the lower courts here have become mere tools to aid and abet in denying full compensation to injured parties. Such attitude clearly rewards the wrongdoers and punishes those who believe in our judicial system.

REASONS FOR GRANTING THE WRIT

The courts are in need of every tool to relieve docket congestion. One of the most powerful devices is prejudgment interest. However, prejudgment interest is only a deterrent to wrongdoers if it is ever a reality. This case presents the Court with an exemplary case to send a message that the federal courts will not permit itself to be used by wrongdoers to delay proper payment to injured parties. A wrongdoer should not be able to retain and use $4.25 million to their advantage for seven (7) years of litigation without

offering one penny for settlement and pocket the profits. If tortfeasors cause significant damage and do not reasonably and objectively make a "good faith effort" to resolve the case, prejudgment interest should be granted to serve two purposes: 1) to deter languishing litigation; and 2) to make the injured party "whole" from the date of his injury. If there was ever a case that prejudgment interest should have been granted, this is it.

This case also presents this Court with the opportunity to recognize and protect the family value of the parent-child relationship. When a wrongdoer causes your child significant permanent brain damage, reducing the child to "infant" status, such "loss" of one's child (even if the child is past the age of majority) is a right to be protected. When a parent must suspend their lives and devote the rest of their lives to a perpetual "child"; society should recognize such sacrifice with proper compensation. To fail to recognize, protect and preserve such relationship is the ultimate denial of due process, for what "taking" could be more substantial to a parent.

ARGUMENT 1 & 2 [argued together]

1. The lower courts encourage docket congestion by allowing wrongdoers to profit by delay and avoidance of timely settlements.

2. The United States Court of Appeals and District Court denied Petitioners due process of law by failing to provide a hearing in a "meaningful manner" as to their "right" to prejudgment interest.

The congestion of the judicial dockets has been an expanding, perplexing issue in constant search of exploring

ways to decrease the load. ["Court Congestion and Delay," 37 *Judges Journal* 12 (4) Spring 1998; "Just, Speedy and Inexpensive? Judicial case management under the Civil Justice Reform Act," 80 *Judicature* 184(6) Jan.-Feb. 1997; "Institutional causes of delay in settlement of legal disputes;" 12 *Journal of Law, Economics & Organization*, 432-460 (Oct '96).]

One of the most effective tools in docket management is granting prejudgment interest to the prevailing party; i.e. not to reward the wrongdoer for foot-dragging. Elementary economics demonstrates that the longer one can hold money and "use" the money, the better and higher the financial benefit. It is commonplace that institutional return on capital far exceeds that of typical investors. Therefore, the real puppeteers directing these sums, the insurance companies, have no incentive whatsoever to pay a liability, particularly substantial sums, prior to the last minute. This case is classical. The first expert review obtained by defendants was negative and the company memo states: "We can't use him." (underlined twice!). The next three experts consulted by defendants were also not used after negative reviews. How a magistrate can ignore this evidence and find this was a "good faith" believe of "no liability" is incredulous. Defendants classic use of the appeal process was evidenced in that defendant filed a notice of appeal, knowing full well there was no appealable issue; and did not dismiss the appeal until the time of their appeal brief was due.

In fact, the insurance company in this case made at least $1,224.42/daily on the $4.25 million assuming even a modest rate of 10% interest [while most similar institutions' return is at least double that return]. The $4.25 million if invested in 1989 (at the time of the negligent surgery and injury) would have grown to at least **$8,282,047.68** by the

time of trial ($9,745,437 by the time judgment was paid). Therefore, by the court refusing to even consider prejudgment interest rewards the wrongdoer by allowing the wrongdoer to use the "time" of litigation to pay the judgment itself and still profit.

Another avenue which is strongly suggested by the district courts is having magistrates try the case instead of the district judge. Here the case was pending until the day of trial with the district judge. The morning of trial we were placed in the position of either agreeing to a magistrate or waiting another year for a trial date. We assumed the magistrate would produce some semblance of justice. This experience was a costly lesson to never agree to a magistrate if this is the extent of judicial quality which one can expect.

The district judge, who had the case for the entire time, but for the magistrate-trial, testified at the prejudgment hearing that he thought the defendants should have settled. Nonetheless, such evidence was ignored and the magistrate summarily denied prejudgment interest. [Appendix A]

The Sixth Circuit was preoccupied with the notion that it was a relatively, large verdict, stating:

> "And there's been, obviously, a very, very substantial recovery made in this case. And, I suppose plaintiff counsel can be happy that the defendants didn't settle the case, because the jury and the Court below in the end were very generous in the award. With that, the case will be decided." [p.30, appeal oral argument].

Here plaintiff was injured by defendant in September,

1989 and did not receive a verdict until June, 1996![1]

As was stated by the court in *Brown v. Consolidated Rail Corp.*, 614 F. Supp. 289 (N.D. Ohio E.D., 1985):

> "The purpose of awarding prejudgment interest is to insure that an injured party is fully and fairly compensated for his loss (*Sea-Land Service, Inc. v. Eagle Terminal Tankers*, 443 F. Supp. 532, 534 (W.D. Wash. 1977). In other words, prejudgment interest is a means by which a party who is **entitled** to an award can collect the proceeds from funds he presumably would have had the use of had it not been for the defendant's conduct."

Pursuant to discovery plaintiffs' obtained the "claims file" from defendants' insurer, (Physicians Insurance Company of Ohio ["PICO"]), and such was entered into evidence [Pltf. #3]. The claims file comprises over **969** pages [Exhibit 3]. Plaintiffs tendered pursuant to Fed.R.Evid. 1006 a "summary" of said documents, which the magistrate refused such and denied its admission into evidence. So he did not have the benefit of any "summary" of the claims file materials.

When the parties appeared for hearing concerning the motions and the law, the magistrate asked during the hearing: "What is a claims file?" [11/11/96 T.p.7]. When the exhibits were mentioned, the magistrate stated: "I'm not aware there were exhibits.." [3/26/97 T.p.4]. Before either party had completed the hearing or admitted any exhibits, the magistrate

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[1] Defendants further took an appeal to the Sixth Circuit and kept that "alive" by diversion to the Conference Attorney's office until they finally dismissed the appeal in late December, 1997 and not paying the judgment until mid-January, 1998!

stated on the record that he was "ready to rule." The parties had to remind the magistrate that we had not completed the hearing or admitted evidence at that point!

The hearing admitting this claims file occurred on Friday, March 28, 1997 and concluded at 2:30 p.m. The Magistrate's "opinion" denying prejudgment interest was docketed the following Monday morning, March 31, 1997 at **11:01 a.m.** Without benefit of the summary of the claims file, plus six deposition transcripts (300 pages) to read, it is difficult to explain to clients (who still have faith in the system) how a court can be so swift in its ruling when so much reading and legal consideration of same would be involved.

If prejudgment interest is to be denied under the facts presented in this case, then there is no hope for any plaintiff to ever recover same. The facts of this case demonstrate a concerted arrogance to refuse to reasonably consider settlement contrary to law. This case through the lower courts holdings demonstrate to defendants they would be crazy to want to settle any matter expeditiously; to do so would be against their clients best interests, and such conduct is done with apparent court protection and approval.

Ohio Revised Code Section **1343.03(C)** states:

> "Interest on a judgment, decree, or order for the payment of money rendered in a civil action based on tortious conduct and not settled by agreement of the parties, shall be computed from the date the cause of action accrued to the date on which the money is paid, if, upon motion of any party to the action, the court determines at a hearing held subsequent to the verdict or decision in the action that the party required to pay the money failed to make a good faith effort to settle

the case and that the party to whom the money is to be paid did not fail to make a good faith effort to settle the case."

The Ohio Supreme Court in *Royal Elec. Constr. v. OSU*, 73 O.S.3d 111, (1995) stated:

> "An award of prejudgment interest encourages prompt settlement and discouraged defendants from opposing and prolonging, between injury and judgment, legitimate claims. Further, prejudgment interest does not punish the party responsible for the underlying damages as suggested by appellees, but, rather, it acts as compensation and serves ultimately **to make the aggrieved party whole**. (See generally, *Moskovitz*, 635 N.E.2d at 346-7)".

The Ohio Supreme Court in *Kalain v. Smith*, 25 Ohio St.3d 157 495 N.E.2d 572 (1986); stated:

> "The statute was enacted to promote settlement efforts, to prevent parties who have engaged in tortious conduct from frivolously delaying the ultimate resolution of cases, and to encourage good faith efforts to settle controversies outside a trial setting. [p.574]
>
> "The statute requires all parties to make an honest effort to settle a case. A party may have "failed to make a good faith effort to settle" even when he has not acted in bad faith. (*Mills v. Dayton*, (1985), 21 Ohio App.3d 208, 486 N.E.2d 1209.."
>
> "A party has not "failed to make a good faith effort to settle" under R.C. 1343.03(C) if he has (1) fully cooperated in discovery proceedings, (2) rationally evaluated his risks and potential liability, (3) not attempted to unnecessarily delay any of the proceedings, **and** (4) made a good faith monetary settlement offer or responded in good faith to an offer

from the other party. If a party has a good faith, objectively reasonable belief that he has no liability, he need not make a monetary settlement offer."

Here the magistrate's Order [Appendix A] stated:

"The Court finds, based upon the evidence presented at the hearing, and having presided at the trial, that defendants had a good faith, objectively reasonable belief that they had no liability and were therefore not required to make a monetary settlement offer. Defendants' good faith, objectively reasonable belief was supported by an evaluation of the evidence, an analysis of the law, the opinions of qualified expert witnesses, and a prior summary judgment verdict in favor of defendants."

This finding is clearly erroneous and contrary to the record. As previously stated, the first four "qualified expert witnesses" contacted by defendants were favorable to plaintiff, not defendant. The one expert they did use had not been shown all of the evidence.

The "summary judgment verdict" [sic] referred to by the magistrate was in fact a summary jury trial in which the jury stated they could not make a determination on way or the other without "seeing" the expert witnesses, but if liability was established the verdict would be about $4 million. If anything these facts demonstrate that there could not have been an "objectively reasonable belief" on these facts that there was "no liability." [In fact this is why the district judge suggested a settlement figure of at least $2 million and testified that in his opinion the case should have been settled.]. {This magistrate was not involved in the case at the time of the summary jury trial.}

The magistrate further found: "there is **no evidence**

that defendants failed to fully cooperate in discovery proceedings or attempted in any way to unnecessarily delay any of the proceedings." [p.2, JA000056]

Again, this is clearly contrary to the evidence. Plaintiffs had requested discovery of the videotape presentation of defendant discussing this type of surgery. It was represented that it did not exist. When plaintiff was literally closing the case, a phone call was placed (to plaintiffs' counsels' office) that they finally found it. Plaintiffs also had searched for several years for the head x-ray taken after surgery. It was "missing" and the last person to sign it out was defendant. This was denied by defendant. It eventually showed up in the courtroom in defendant's possession. If this is "full cooperation in discovery" then many of us have been laboring under significant misconceptions for years!

The legal standard for prejudgment interest is conjunctive and to be "strictly construed" to carry out the purpose of the statute. The Ohio Supreme Court in *Galayda v. Lake Hosp. Sys., Inc.*, (644 N.E.2d 298 (Ohio 1994) stated:

> "Existence of a good faith, objectively reasonable belief of nonliability does not excuse a defendant from the remaining *Kalain* obligations to (1) fully cooperate with discovery, (2) rationally evaluate risks and potential liability, and (3) refrain from unnecessary delaying maneuvers. *Id.* at syllabus. Moreover, the "good faith, objectively reasonable belief" language of *Kalain* must be "**strictly construed** so as to carry out the purposes of R.C. 1343.03." *Moskovitz*, 69 Ohio St.3d at 659, 635 N.E.2d at 348. The purposes of R.C. 1343.03 would not be furthered by construing the evidence most favorably to the party

> opposing a motion for prejudgment interest as a trial court must do when ruling on a motion for directed verdict or summary judgment, or by limiting the examination of the defendant's conduct to the time of the trial or the evidence presented at trial. A defendant may well have fallen short of the good faith requirement of R.C. 1343.03, even where a trial court would have been justified in overruling a motion for summary judgment prior to trial or a motion for directed verdict made during trial.

"We have reviewed the record established in the prejudgment interest hearing held in the case at bar and find that the trial court was well within its discretion in ordering prejudgment interest pursuant to R.C. 1343.03. The trial court found that the defendants had stated a position of "no offer and no settlement in such unmistakably rigid terms" following presentation of plaintiff's initial settlement demand that plaintiff's presentation of any reduced demand would have been "a vain act" and that the defendants had thereby "effectively terminated all chance for good faith negotiation." The court concluded that the defendants had "not rationally evaluate[d] the essential risks of a plaintiff's verdict, and had failed to respond in good faith" to a good faith offer from the plaintiff. A trial court does not abuse its discretion in awarding prejudgment interest when, as here, a defendant "just says no" despite a plaintiff's presentation of credible medical evidence that the defendant physician fell short of the standard of professional care required of him, when it is clear that the plaintiff has suffered injuries, and when the causation of those injuries is arguably attributable to the defendant's conduct. We find the trial court's determinations on this issue wholly in accord with the purposes of R.C. 1343.03 and with the standards set forth in *Kalain* and *Moskovitz*, supra."

Due process guarantees a hearing "in a meaningful manner" (*Arnett v. Kennedy*, 416 U.S. 134, 94 S.Ct. 1633, 40 L.Ed.2d 15 (1974). Clearly such was denied petitioners here, by both the magistrate and the Circuit Court.

Here the evidence, if reviewed, clearly shows that defendants failed to make a reasonably objective evaluation of their potential liability and steadfastly refused to make "any" settlement offer whatsoever. Rather than "strictly construing" the law to effectuate its purpose, as dictated by the Ohio Supreme Court, here the lower courts erroneous failed to consider the actual evidence or at best liberally construed the law to bring about a reward to wrongdoers and created a hallmark case to add precedent to foster continuing docket congestion.

The plaintiffs, by undergoing settlement negotiations and agreeing to a demand, were obviously penalized by the Circuit court; "but you were going to settle this case for two point something, didn't you -- weren't you? [Circuit oral argument, p.3].

This was an allusion to a point in time when the district judge convinced plaintiffs at a settlement conference to settle if the defendants would offer $2 million. To this demand the defendants responded that they had no interest in settlement. So the Circuit Court now erroneously see that as "relevant" to prejudgment interest determination.

As the Sixth Circuit stated in *The Cincinnati Gas and Electric Company v. General Electric Company*, 864 F.2d 900 (CA 6, 1988):

> "The summary jury trial was developed in 1980 by United States District Judge Thomas D. Lambros. The primary purpose of the summary jury trial is the 'settlement of disputes.' Lambros, *The*

> *Summary Jury Trial, A Report to the Judicial Conference of the United States*, 103 F.R.D. 461, 465 (1984).....To emphasize the purely settlement function of the exercise, the mock jury is often asked to assess damages even if it finds no liability. Also, the court and jurors join the attorneys and parties after the 'verdict' is returned in an informal discussion of the strengths and weaknesses of each side's case."

Here as the record indicates, the jury was unable to determine which experts to believe without "seeing" them; however, the jury did conclude that if liability is determined verdict in the range of $4 million was reasonable. This "settlement" information was used by the courts against petitioners here, rather than in support of settlement. The parties are informed that the summary jury trial is "non-binding and has no effect on the merits of the case, other than settlement." However, if this is how the courts will utilize a party's effort to achieve settlement, then no reasonable party will ever submit to a summary jury trial. And one would be foolish to undertake any settlement negotiations in a federal court system.

The Sixth Circuit failed to apply a correct "legal" standard of review. Instead, the court was most impressed that the plaintiff seemingly large verdict. The court further apparently applied the Ohio standard of *Kalain* in the disjunctive, rather than conjunctively as Ohio law indicates. That is, the lower court and Circuit court seemed to feel that if there was any way they could find that defendant had a objective reasonable belief that they had "no liability" that ended the inquiry. However, there are other requirements to avoid prejudgment interest, the most important of which on this record is the lack of discovery and secreting of evidence. That requirement is conveniently side-stepped by the lower

courts.

Parties before a federal court should be able to expect competent judges (magistrates) who will at least "consider" the evidence. Due process includes a "meaningful hearing." When lower courts demonstrate a clear lack of consideration of evidence such conduct demeans the entire judiciary and adds fuel to the fire of the public's lack of confidence in our judiciary and entire justice system. A case such as this affects the entire lifetime of a human being; it is not just a determination of a balance sheet. This case can send a very important signal to half of the litigators that the federal system will not reward or permit wrongdoers to use the court system as a partner to deny citizens their rights to full and timely compensation which is guaranteed them by the U.S. Constitution.

ARGUMENT 3

3. The "due process" right of the U.S. Constitution includes a parents right to be compensated when a tortfeasor reduces their adult child to the status of an incompetent and parental duties are once again continually and permanently placed upon the parent.

Under Ohio law, a parent may recover damages for loss of filial consortium, including services, society, companionship, comfort, love, solace and nursing care, in a derivative action against a tortfeasor who reduces her adult son to the existence of a minor. [*Gallimore v. Children's Hospital Med. Ctr.*, 67 Ohio St.3d 244, 617 N.E.2d 1052 (1993)].

Given the extensive and permanent brain damage suffered by Tracy Ashcraft in this situation, his mother, Carolyn Ashcraft has lost her son who she knew prior to

September, 1989 [the brain lobe removal]. This is comparable to a wrongful death action by the mother.

The U.S. Constitution protects fundamental "family" rights (*Boddie v. Connecticut* (1971), 401 U.S. 371, 91 S.Ct. 780, 28 L.Ed.2d 113). The Ohio Supreme Court in *Gallimore v. Children's Hospital Medical Center*, 67 Ohio St.3d 244, 617 N.E.2d 1052 (1993) permitted the parent a cause of action for loss of a minor child's consortium and services. The magistrate herein granted defendant's motion to dismiss the mother's claim in its entirety.

Certainly if a tortfeasor's actions reduces your adult child to an infant once again, one that needs constant care, such wrong should have a remedy under the laws of Ohio. To deny plaintiff here the right to a remedy would violate the Ohio and Federal Constitutions provisions for due process and open courts. Such result would provide Carolyn Ashcraft with no remedy for the wrongful acts of defendants which have taken away the "activities and enjoyment of life experiences normally shared by parents and their children." [*Gallimore*, at p.1058-59]. Other courts have found that parents have a cause of action for loss of consortium against third party who negligently injures their adult child [*Howard Frank M.D., P.C. v. Superior Court*, 150 Ariz 228, 722 P.2d 955 (1986); *Maski v. General Motors Corp.*, 780 P.2d 566 Hawaii 1989); *"Compensating Parents for Their Nonfatally Injured Child's Society: Extending the Notion of Consortium to the Filial Relationship,"* 1989 U.Il. L. Rev. 761 (1993).]

The Supreme Court of Arizona sitting *en banc* in the *The Howard Frank, M.D.* case (supra) stated:

> "no meaningful distinction can be drawn between death and severe injury where the effect on consortium is concerned. Often death is separated

from severe injury by mere fortuity [p.957-958]."

"Perhaps the loss of companionship and society experienced by the parents of a child permanently and severely injured ...is in some ways even greater than that suffered by parents of a deceased child. Not only has the normal family relationship been destroyed, as when a child dies, but the parent also is confronted with his loss each time he is with his child and experiences again the child's diminished capacity to give comfort, society, and companionship." [p.958]

"We do not believe that an age distinction is justified. [p.960] * * * we believe parent should have a remedy in damages against a negligent tortfeasor whose actions have so severely injured the parents' adult child that they are deprived of their child's society, companionship, love and support, -- in short, of the child's consortium. * * * we can find no reason for limiting the class of plaintiffs to parents of minor children when the parents of adult children may suffer equal or greater harm." [p.961].

The court in *Harbeson v. Parke-Davis, Inc.* (1983) 98 Wash.2d 460, 656 P.2d 483, later proceeding (CA9 Wash), 746 F.2d 517 the child's age did not limit the parents' recovery. Also in *Shaw v. United States* (1984, CA9 Wash), 741 F.2d 1202 the court did not limit damages to the child's minority. [Also see: *Rosario v. United States* (1993, DC Mass) 824 F.Supp. 268.]

The court in *Rouse v. Riverside Methodist Hospital*, (1983), 9 Ohio App.3d 206, 459 N.E.2d 593, found that a cause of action exists in Ohio for a parent to recover from a wrongdoer the reasonable value of care or attendance which he himself renders to his child as a result of negligent injury to such child. Here the magistrate's ruling precluded even this recovery.

The Ohio Supreme Court in *Gallimore, supra*, was very clear that it was "not creating a new right." [p.1058]

> "Thus, we now formally recognize the apparently long-existing right of a parent to recover damages for loss of filial consortium.....The parent-child relationship is unique, and it is particularly deserving of special recognition in the law." [p.1057].

The magistrate's ruling deprived plaintiff-mother herein a remedy for a legal wrong in violation of Ohio Constitution Article I, Section 16[2] and the Fifth Amendment and Fourteenth United States Constitution.

ARGUMENT 4

4. The Magistrate Judge erred in ordering a "satisfaction of judgment" where a portion of the case is on-going in the State court system. [Appendix E]

The magistrate granted defendants' motion for an order "satisfying judgment" over plaintiffs' objection. Under Ohio law it has been held that a "satisfaction of judgment" ends the case. Plaintiffs having the issue of denial of prejudgment interest on appeal clearly did not want to the district court to jeopardize the status of the pending appeal by taking such action or to affect the on-going collateral case still pending in the State Court of Claims (pursuant to ORC §2743; which requires a separate filing against the State (or its

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[2] Ohio Constitution Art. I, Section 16:

"All courts shall be open, and every person, for an injury done him in his land, goods, person, or reputation, shall have remedy by due course of law, and shall have justice administered without denial or delay.

employees) only in the State Court of Claims). A satisfaction of judgment should not have been entered (or entertained) until the matter has been fully concluded. [Defendant has, as anticipated, already filed a motion in the State court claiming the "satisfaction" entered by the magistrate puts an end to that State litigation].

After defendants realized they had no appealable issues and after using the verdict money for 18 months, defendants, just prior to the briefing deadline, dismissed their appeal [11/12/97; R.172]. Defendants then agreed to pay the verdict but submitted a "satisfaction of judgment" for plaintiffs to sign. Plaintiffs suggested they would be willing to enter into an "agreement not to execute" upon that portion of the case [i.e the jury's verdict] given the law of Ohio; however, this was rejected by defendants. It was obvious that this was rejected because the defendants wanted to use the "satisfaction" for use in the State court.

Defendants then moved the district court for an Order of satisfaction of judgment and release of their supersedeas bond. [12/18/97; R. 173].

Plaintiffs were concerned that such Order might affect the pending appeals and pending State litigation and suggested at most an "entry of partial satisfaction." However, the magistrate granted defendants' motion and entered an order of "satisfaction of judgment" to which plaintiffs objected and which was appealed.

Given the court's insistence to enter its Order plaintiffs were put in the position of having to appeal so as to not be said to have "waived" its appeal of the other pending issue. (*Tech Hills II Associates v. Phoenix Mutual Life Ins.*, 966 F.2d 1454 (6th Cir.). This legal principle was confirmed by the Ohio Supreme Court in *Seifert v. Burroughs*, 526 N.E.2d

813 (1988).

The district court erred in entering an Order of Satisfaction since aspects of the case were active and pending on appeal.

The defendants' proposed an entry very similar to that used in *Seifert*; viz. to "**reserve** their Appeal." However, the parties in *Seifert* stated specifically, with regard to their appeal:

> "With this entry, plaintiffs (sic) respectfully **reserve** their (sic) right to proceed against Mohammed S. Singapuri, M.D. and Children's Hospital Medical Center."

The *Seifert* court, while considering such language, found said appeal to be "moot" since an entry of satisfaction of judgment was entered. The court held that an injured plaintiff may obtain only one satisfaction:

> "Having received satisfaction from one tort-feasor, the plaintiff may not complain further against other joint tort-feasors *** The plaintiff may try to reserve a right against the other tort-feasors, but the reservation is only as efficacious as the right."

The court held that the "satisfaction precludes appellant from seeking further redress... despite the reservation of rights language in the entry."

This elementary legal principle is substantiated in caselaw throughout the country. "The general principle is well settled that a satisfaction of judgment is the last act and end of the proceeding, and there can be but one satisfaction of a judgment." (*Cason v. Glass Bottle Blowers Asso.*, 113 Cal.App.2d 263, 247 P.2d 931; 47 Am.Jur.2d Judgments,

Section 979.)

Also other jurisdictions have dismissed appeals where a entry of satisfaction has been entered (*Ducey v. Patterson*, 37 Colo. 216, 86 P.109).

Further, contrary to U.S.D.C. (S.D. Ohio) Local Rule 7.2(a)(1), defendant cited no legal authority upon which to premise this extraordinary request of the magistrate for a "satisfaction." The magistrate should not have entered an Order of Satisfaction of Judgment in this case given the procedural posture. As predicted defendant has now advanced the position that said "satisfaction" precludes plaintiff from pursuing their collateral action against the other defendant physicians and is attempting to foreclose plaintiffs from proceeding in the Court of Claims as to the other defendants.

To preserve the comity between Federal and State judicial systems, the Order granting a "satisfaction" should be reserved.

ARGUMENT 5

5. It is constitutionally violative and denies full compensation to require plaintiff to pay a "registry fee" from plaintiffs' recovery where the magistrate erred in permitting defendant to pay a verdict into the clerk of court.

By the maneuver of paying the verdict into court (rather than to plaintiffs) the defendant caused a "registry fee" to be assessed by the clerk against the verdict amount which translated into a reduction of $1,086.60 to plaintiffs from the sum due and owing plaintiff. [1/16/98 Registry Entry]. Defendant should not be permitted to utilize the United States

clerk to short-change plaintiffs from their full compensation. Such "registry fee" should have been assessed against defendants, not plaintiffs. Therefore, the very purpose of making the plaintiff "whole" is thereby frustrated by defendants' magistrate-approved action.

The court should have at the very least required defendant to pay any "registry fee"; not plaintiffs.

ARGUMENT 6

6. If a citizen in a diversity action is entitled under State law to collect a particular interest on a judgment, the federal court cannot constitutionally take said "right" away by statute.

Defendant computed the post-judgment "interest" until it made its payment into the clerk's office. Defendant apparently computed the interest at less than 6%, allegedly utilizing 28 U.S.C.§ 1961. If this was the calculations, such percentages clearly deny plaintiffs their "due process" rights for full and fair compensation. In a diversity case involving a non-contractual case, the correct standard to be used is the State statutory mandate for post-judgment interest (Ohio Revised Code §1343.03(C)) [at 10%].

Defendants calculated the interest and apparently used the formula in 28 U.S.C. §1961. The Sixth Circuit has held that State law applies to post-judgment interest in diversity cases. (*Yasuko N. Sakamoto v. John A. Walkup*, 762 F.2d 1011 (6th Cir. 1985); *Anodco, Inc. v. Reynolds Metals Co.*, 572 F.Supp. 895, 896 (W.D. Mich, 1983), aff'd, 743 F.2d 417 (6th Cir. 1984).

The United States Supreme Court has held that the purpose of post-judgment interest is to compensate successful

plaintiffs for being deprived of compensation for loss from the time between ascertainment of damage and payment by defendant. (*Kaiser Aluminum & Chemical Corp. v. Bonjorno*, U.S. Pa. 1990, 110 S.Ct. 1570, 494 U.S. 827, 108 L.Ed.2d 842.

As has been noted, other than the primary purpose to "make whole" a plaintiff, post-judgment interest also is to serve the purpose of creating an incentive for unsuccessful defendants to avoid frivolous appeals. (*Weitz Co. v. Mo-Kan Carpet, Inc.*, 723 F.2d 1382, at 1386-87 (8th Cir. 1983); S.Rep. No. 275, 97th Cong. 2d Sess. 30, reprinted in 1982 U.S. Code Cong. & Admin. News 11, 40.

In applying the reduced percentages of 28 U.S.C. §1961 (ranging from 5.42% to a high of 6.06%); one can readily see that the statute's purpose is turned on its head! When the passage of time or conditions change to frustrate the purpose of a statute and unconstitutionally deprive citizens of their full rights in the judicial system, a court should put a stop to continued injustice. Defendants are encouraged by such low percentages to file frivolous appeals and "use" that money which in their hands clearly returns more than 5-6%.

Application of such statute not only frustrates the public policy and purpose of the statute, but it unconstitutionally deprives plaintiffs from ever obtaining "full" compensation.

Therefore, 28 U.S.C. §1961, as applied in this case, is unconstitutional and violates the United States Constitution, Amendment V by denying due process of law.

In order to be "made whole" the court should apply interest per the Ohio statute on interests on judgments (Ohio Revised Code § 1343.03(C) which was applicable at the time of entry of judgment [i.e. 10%].

ARGUMENT 7

7. The lower courts' permitting of the Magistrate to have *ex parte* communications with defense counsel undermines fundamental fairness and such conduct diminishes the public trust in the judiciary.

After the verdict plaintiffs moved for prejudgment interest pursuant to Ohio law. Under the law of Ohio plaintiffs had a "right" to discovery of the "claims file" in the prejudgment interest hearing process. (*Peyko v. Frederick*, 25 Ohio St.3d 164, 495 N.E.2d 918 (1986)). Defendants produced their insurance "claims file" but withheld twelve (12) documents from plaintiffs claiming such were "privileged." Defendants requested an *in camera* review of such documents by the magistrate. [R.152; pp. 21-22].

In preparing petitioners' appeal, plaintiffs requested by motion that the magistrate include in the record those documents which were the subject of the *in camera* request. [R.179; 1/23/98]. The magistrate denied said motion and informed plaintiffs (for the first time) that he had already returned the documents back to defendants! [R. 180; 2/2/98]. [Appendix C]

Such *ex parte* procedure in releasing documents back to the defendants without any record being made clearly denies plaintiffs their due process and equal protection rights and is clearly erroneous.

Basic to a litigant's rights to due process and equal protection is the "right" to have a record of the legal proceeding. The United States Supreme Court in *Britt v. North Carolina*, 404 U.S. 226, 227 (1971) held that even indigent defendants in criminal cases must be provided with "a transcript of a prior proceeding when that transcript is

needed for an effective defense or appeal."

The Sixth Circuit has found the practice of preventing a party from obtaining a proper record is erroneous. *In United States of America ex rel. Taxpayers Against Fraud v. General Electric*, 41 F.3d 1032 (6th Cir. 1994) the district court was found to have erred in not providing transcripts to opposing counsel of an in camera proceeding.[41 F.3d at 1042].

The Sixth Circuit has also recognized that an appellate court is deprived of an effective review if not provided "a similar in camera review of the same documents." (*Ingle v. Dept. of Justice*, 698 F.2d 259, at 263 (6th Cir., 1983)).

The magistrate's intolerable conduct should not be approved by the federal courts. This conduct of "going through the motions" fails far short of a "meaningful hearing" as guaranteed in our system. If the public is to have any trust and confidence in the legal system in this country this travesty should be remedied and send a message to recalcitrant wrongdoers to resolve cases timely and reduce the litigation in this country.

CONCLUSION

The public policy to encourage settlement will be dealt a serious blow if this case is permitted to stand to reward this type of arrogance of the law demonstrated by the defendants involved in this case. The allowance of prejudgment interest will not only be proper, but will provide plaintiff with near the amount of damages he should have been awarded according to the evidence which was presented. Full compensation can be achieved by this court's action and send a very clear and needed voice to the lower courts to use all available tools to effectuate settlements to lessen the docket

caseload.

In this age a wrongdoer can create significant, life-changing damages. When a tortfeasor causes permanent brain injury to a child, (even one who is over the age of majority), the parents of such child should be able to recover compensation for their personal loss and their care and nursing of their child who has now been reduced to a permanent child by the wrongdoer's act. Our society claims to be concerned with "family values." This Court should not uphold the legal finding that the relationship between parent and child is "worthless" in the eyes of the law.

Petitioners pray that this Court will grant certiorari and give hope to individuals that this is still a Court of the People and to send a message to litigation parties that this Court will enforce all settlement avenues to reduce docket congestion; and to show that this Court does "value" the family relationships between parent and child.

Respectfully submitted,

/s/_____
John H. Metz
44th Floor Carew Tower
441 Vine Street
Cincinnati, Ohio 45202
(513) 241-8844
Fax (513) 241-6090
Attorney for Petitioners

APPENDIX A

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF OHIO
WESTERN DIVISION

[Filed March 31, 1997]

No. C-1-92-248

TRACY ASHCRAFT, et al.,
Plaintiffs,

v.

HWA-SHAIN YEH, MD, et al.,
Defendants.

ORDER DENYING PLAINTIFF'S MOTION FOR PREJUDGMENT INTEREST

This is a medical malpractice consent case in which, after fifteen days of trial, a jury returned a $4,250,000 verdict in favor of plaintiff. Now before the Court is Plaintiffs' Motion for Prejudgment Interest (Doc. 106) and Defendants' Response In Opposition to Plaintiffs' Motion For Prejudgment Interest (Doc. 109). A hearing was held on the above motion on January 10, 1997 and on March 28, 1997, wherein attorneys for all parties were present.

In his motion plaintiff claims prejudgment interest is mandated because "defendants failed to make a reasonable objective evaluation of their potential liability and steadfastly refused to make 'any' settlement offer." (*See* Doc. 106). Plaintiff relies upon Ohio Revised Code Section 1343.03(C) which mandates a payment of prejudgment interest where "the court determines at hearing held subsequent to the verdict or decision in the action that the party required to pay the money failed to make a good faith effort to settle the case, and that the party to whom the money is to be paid did not fail to make a good faith effort to settle the case."

The Court finds, based upon the evidence presented at the hearing, and having presided at the trial, that defendants had a good faith, objectively reasonable belief that they had no liability and were therefore not required to make a monetary settlement offer. *See Kalain v. Smith*, 25 Ohio St. 3d 157 (1986). Defendants' good faith, objectively reasonable belief was supported by an evaluation of the evidence, an analysis of the law, the opinions of qualified expert witness, and a prior summary judgment verdict in favor of defendants. Additionally, there is no evidence that defendants failed to fully cooperate in discovery proceedings or attempted in any way to unnecessarily delay any of the proceedings in this case. *See Kalain, supra*.

For these reasons, the Court finds that an award of prejudgment interest in this case is not supported by fact or law and DENIES same.

IT IS SO ORDERED.

Date: 3/31/97 /s/_____
Jack Sherman, Jr.
United States Magistrate Judge

APPENDIX B

UNITED STATES COURT OF APPEALS
FOR THE SIXTH CIRCUIT

[Filed November 10, 1998]

No: 96-3804 : 98-3207 : 98-3208

TRACY ASHCRAFT; Plaintiff	)
CAROLYN ASHCRAFT, Plaintiff-Appellants,	)
v.	)
HWA-SHAIN YEH, M.D.; MAYFIELD NEUROLOGICAL INSTITUTE, INC.; Defendants-Appellees	)
MICHAEL PRIVITERA, M.D., Defendant.	)

ORDER

BEFORE: MERRITT, FARRIS*, and COLE, Circuit Judges.

This cause having come on to be heard upon the record, the briefs and the oral argument of the parties, and upon due consideration thereof,

The court finds that no prejudicial error intervened in the judgment and proceedings in the district court, and it is therefore ORDERED that said judgment be and it hereby is affirmed.

ENTERED BY ORDER OF THE COURT

/s/_____
Leonard Green, Clerk

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* The Honorable Jerome Farris, Circuit Judge of the United States for the Ninth Circuit, sitting by designation.

APPENDIX C

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF OHIO
WESTERN DIVISION

[Filed February 2, 1998]

No. C-1-92-248

TRACY ASHCRAFT, et al., Plaintiffs,	)
v.	)
HWA-SHAIN YEH, M.D., et al., Defendants.	)

ORDER DENYING PLAINTIFF'S MOTION "FOR ORDER DESIGNATING RECORD" (DOC. 179)

Now before the Court is plaintiffs' motion "for order designating record" (doc. 179). The motion concerns the Court's prior in camera documents review, and the plaintiffs' desire to have those documents presented to the Sixth Circuit, so that the document, and the merits of the Court's decision, can be reviewed on appeal.

The motion is not well taken. It is the Court's understanding that, were the Sixth Circuit to request review

of the documents in question, the Sixth Circuit Clerk would make such a request to the District Court Clerk, who would then forward the documents to the Sixth Circuit. No such request was made in this instance.[1] Accordingly, plaintiffs' motion is premature.

Moreover, even if such a request were to be made, the documents could likely not be produced to the Sixth Circuit, for it is the Court's additional understanding that the documents were returned to defendants following completion of the in camera review. In other words, the subject documents were never retained by the Clerk as an exhibit. Accordingly, even if the Court were inclined to grant the motion, it could not, for it cannot award plaintiffs the relief they now seek.

For these reasons, the motion is DENIED. Should the Sixth Circuit eventually request the documents from the District Court Clerk, and should the documents be found to be retained by the Clerk as an exhibit, the Court would, of course, fully cooperate in having the documents reviewed by the Court of Appeals.

IT IS SO ORDERED.

Date: 1/29/98

/s/_____
Jack Sherman, jr.
United States Magistrate Judge

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[1] Plaintiffs' remedy, therefore, is to contact the Sixth Circuit Clerk directly regarding this issue, or to file an appropriate motion with the Court of Appeals.

APPENDIX D

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF OHIO
WESTERN DIVISION

[Filed 1/15/98]

No. C-1-92-248

TRACY ASHCRAFT, et al.,
Plaintiffs,

v.

HWA-SHAIN YEH, M.D.; et al.,
Defendants.

ORDER GRANTING DEFENDANTS' MOTION (DOC. 173) FOR: (1), AN ORDER OF SATISFACTION OF JUDGMENT REGARDING THE JURY VERDICT AMOUNT, AND (2) THE RELEASE OF DEFENDANTS' SUPERSEDEAS BOND

Defendants recently dismissed their Sixth Circuit appeal of the jury's verdict, and agreed to pay plaintiffs the full amount of that verdict. Accordingly, the Court today heard oral argument on the merits of defendants' motion for an Order of Satisfaction of Judgment, and release of their supersedeas bond. See docs. 173 (motion), 175 (plaintiffs'

opposition memorandum), 176 (defendants' reply). For the reasons then stated on the record, the motion is GRANTED AS FOLLOWS:

1. Because defendants deposited with the Clerk of Courts on December 17th, 1997 the full amount of the jury verdict, plus appropriate post-judgment interest dating from the June 6, 1996 entry of judgment to December 17th (a sum totalling $4,624,797.32), the Court finds defendants have SATISFIED the jury's verdict. Accordingly, the Clerk is directed to ENTER A SATISFACTION OF JUDGMENT ON THIS CLAIM ONLY;

2. The deposited sum, and all interest that has accrued on that sum since its December 17th deposit in the Court's interest-bearing account, shall be paid by the Clerk to "John H. Metz, Attorney for Plaintiffs in C-1-92-248; for Deposit into Mr. Metz's IOLTA Trust Account." Thereafter, Mr. Metz shall transfer all appropriate funds to the Tracy Dale Ashcraft Trust, as authorized by the Probate Court for Kenton County, Kentucky. See doc. 175, ex. E (Dec. 29, 1997 Order establishing Trust);

3. Because plaintiffs still have two claims remaining on appeal in the Sixth Circuit -- i.e., their appeal concerning (1) the dismissal of Carolyn Ashcraft's loss of consortium claim, and (2) the denial of their motion for an award of pre-judgment interest -- THE SATISFACTION OF JUDGMENT SHALL NOT CONCERN THOSE TWO CLAIMS, and both claims shall remain pending on appeal; and

4. Pursuant to this Order, the Clerk shall RELEASE DEFENDANTS' SUPERSEDEAS BOND.

IT IS SO ORDERED.

Date: 1/14/98 /s/_____
Jack Sherman, Jr.
United States Magistrate Judge

APPENDIX E

UNITED STATES COURT OF APPEALS
FOR THE SIXTH CIRCUIT

[Filed January 11, 1999]

No: 96-3804 : 98-3207 : 98-3208

TRACY ASHCRAFT, Plaintiff,	)
CAROLYN ASHCRAFT, Plaintiff-Appellants,	)
v.	)
HWA-SHAIN YEH, M.D.; ET AL., Defendants-Appellees	)
MICHAEL PRIVITERA, M.D., Defendant.	)

ORDER

BEFORE: MERRITT, COLE, and FARRIS,[1]
Circuit Judges.

The court having received a petition for rehearing en banc, and the petition having been circulated not only to the original panel members but also to all other active judges of this court, and no judge of this court having requested a vote on the suggestion for rehearing en banc, the petition for rehearing has been referred to the original panel.

The panel has further reviewed the petition for rehearing and concludes that the issues raised in the petition were fully considered upon the original submission and decision of the case. Accordingly, the petition is denied.

ENTERED BY ORDER OF THE COURT

/s/_____
Leonard Green, Clerk

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[1] Hon. Jerome Farris, Senior United States Circuit Judge for the Ninth Circuit Court of Appeals, sitting by designation.